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31054 U.S. PTO

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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	KPO108
First Inventor	Emiko NISHIDA
Title	Method and Apparatus for Forming an Optical Multilayer Filter
Express Mail Label No.	EL680122792US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **18**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **17**]
5. Oath or Declaration [Total Pages **2**]
 - a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - b. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS


9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Cert. of Express Mailing

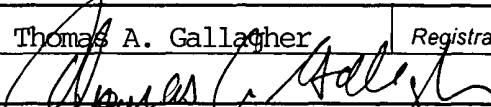
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No.: _____
Prior application information:		Examiner	Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label		or	<input type="checkbox"/> Correspondence address below
Name 25271			
PATENT TRADEMARK OFFICE			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Thomas A. Gallacher	Registration No. (Attorney/Agent)	24,815
Signature		Date	6-25-01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001.

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 750.00

Complete if Known

Application Number
Filing Date
First Named Inventor Emiko NISHIDA
Examiner Name
Group Art Unit
Attorney Docket No. KPO108

JC986 U.S. PTO
09/891054
06/25/01

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 07-0137
Deposit Account Name Gallagher & Lathrop

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	201	355	710	Utility filing fee	710
106	206	160		Design filing fee	
107	207	245		Plant filing fee	
108	208	355		Reissue filing fee	
114	214	75		Provisional filing fee	

SUBTOTAL (1) (\$ 710

2. EXTRA CLAIM FEES

Total Claims 5 -20** = 0 X Fee from below = 0
Independent Claims 2 -3** = 0 X Fee from below = 0
Multiple Dependent 0 = 0

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
103	203	9		Claims in excess of 20
102	202	40		Independent claims in excess of 3
104	204	135		Multiple dependent claim, if not paid
109	209	40		** Reissue independent claims over original patent
110	210	9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	205	65		Surcharge - late filing fee or oath	
127	227	25		Surcharge - late provisional filing fee or cover sheet	
139	239	130		Non-English specification	
147	247	2,520		For filing a request for ex parte reexamination	
112	212	920*		Requesting publication of SIR prior to Examiner action	
113	213	1,840*		Requesting publication of SIR after Examiner action	
115	215	55		Extension for reply within first month	
116	216	195		Extension for reply within second month	
117	217	445		Extension for reply within third month	
118	218	695		Extension for reply within fourth month	
128	228	945		Extension for reply within fifth month	
119	219	155		Notice of Appeal	
120	220	155		Filing a brief in support of an appeal	
121	221	135		Request for oral hearing	
138	238	1,510		Petition to institute a public use proceeding	
140	240	55		Petition to revive - unavoidable	
141	241	620		Petition to revive - unintentional	
142	242	620		Utility issue fee (or reissue)	
143	243	220		Design issue fee	
144	244	300		Plant issue fee	
122	222	130		Petitions to the Commissioner	
123	223	50		Processing fee under 37 CFR 1.17(q)	
126	226	180		Submission of Information Disclosure Stmt	
581	281	40		Recording each patent assignment per property (times number of properties)	40.00
146	246	355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	355		For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	355		Request for Continued Examination (RCE)	
169	269	900		Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00

SUBMITTED BY

Name (Print/Type)	Thomas A. Gallagher	Registration No. (Attorney/Agent)	24,815	Telephone	415-989-8080
Signature		Date	6-25-01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Emiko Nishida and Noboru Uehara
Attorney Docket No.	KPO108
Title:	Method and Apparatus for Forming an Optical Multilayer Filter

CERTIFICATE OF EXPRESS MAILING UNDER 37 CFR 1.10

I hereby certify that this United States patent application transmittal and the documents referred to therein as enclosed are being deposited with the United States Postal Service on **June 25, 2001** as "Express Mail," mailing label number EL680122792US, in an envelope addressed to: Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.



Jean C. Reed

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